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ABSTRACT

This document contains an inventory of innovative human resource management (HRM) practices in federal departments and major independent agencies. To develop the inventory, the General Accounting Office (GAO) surveyed 71 federal organizations having 5,000 or more employees. The GAO used a questionnaire that asked agency officials to identify their HRM practices and to indicate those they considered innovative. The GAO also visited sites, reviewed agency documentation of selected practices, and interviewed officials from 47 of the 71 agencies. The document consists of a cover letter and five appendixes. A detailed discussion of the study objectives, scope, and methodology is found in Appendix I. Appendix II presents the overall results of the survey and describes (1) the frequency of implementation of HRM practices across the federal government; (2) the percentage of HRM practices that any single agency implemented; and (3) the HRM practices that agencies believe contribute significantly to operations. Appendix III describes briefly 15 examples of these practices. Appendix IV contains the inventory of innovative HRM practices that agency officials reported using. Appendix V defines HRM practices. (KC)

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United States General Accounting Office

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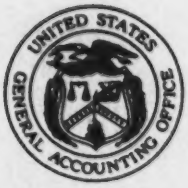
Fact Sheet for the Ranking Minority Member, Subcommittee on Federal Services, Post Office, and Civil Service, U.S. Senate

June 1987

ED287025

HUMAN RESOURCE MANAGEMENT

Status of Agency Practices for Improving Federal Productivity



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United States
General Accounting Office
Washington, D.C. 20548

General Government Division

B-226307

June 16, 1987

The Honorable Ted Stevens
Ranking Minority Member, Subcommittee on Federal
Services, Post Office, and Civil Service
Committee on Governmental Affairs
United States Senate

Dear Senator Stevens:

This fact sheet responds to your September 10, 1985, request for an inventory of innovative human resource management (HRM) practices in federal departments and major independent agencies. HRM is the management of people to accomplish agency missions. It includes the policies and activities of line managers directly involved in managing people and personnel specialists who support line managers. This typically covers management practices, such as team building and employee suggestion systems.

To develop the inventory, we surveyed 71 federal organizations having 5,000 or more employees. We used a questionnaire that asked agency officials to identify their HRM practices and to indicate those they considered innovative. These organizations employ about 2.3 million employees, or about 92 percent of the executive branch's full-time, permanent civilian work force. We also conducted site visits and reviewed agency documentation of selected practices. We interviewed officials from 47 of the 71 organizations about the HRM practices that agency officials considered innovative.

We emphasize that the information in this fact sheet is based on agency reported data and was not verified by us. A more detailed discussion of our objectives, scope, and methodology is found in appendix I.

HUMAN RESOURCE MANAGEMENT IN THE FEDERAL GOVERNMENT

The agencies we surveyed reported that they use a wide variety of HRM practices. About one-third of these practices were introduced during the last 5 years. Many others, such as automated job skill selection, streamlining personnel administration, use of comprehensive personnel administrative indicators, and strategic human resource planning, are being planned for future use.

Appendix II reports the overall results of our survey and describes the

-- frequency of implementation of HRM practices across the federal government,

-- percent of HRM practices that any single agency implemented, and

-- HRM practices that agencies believe contribute significantly to operations.

Practices frequently contributing significantly to operations include organization assessment, strategic human resource planning, automated personnel administration information systems, and employee suggestion systems.

Appendix III briefly describes 15 examples of these practices.

Appendix IV contains the inventory of innovative HRM practices agency officials reported using. Agencies reported that these practices improved their productivity and performance and had the potential for reducing costs. We did not determine if the applications were indeed innovative, nor did we evaluate the claimed improvements.

Appendix V defines the HRM practices the agencies used to respond to our questionnaire.

We are sending copies of this fact sheet to the Director, Office of Management and Budget; the Director, Office of Personnel Management; the heads of the agencies included in our survey; and to other interested parties. If you have any questions, please call me on 275-5074.

Sincerely yours,

Brian L. Usilaner
Associate Director

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ABBREVIATIONS

APHIS	Animal Plant and Health Inspection Service
CSRA	Civil Service Reform Act
DOD	Department of Defense
EEO	Equal Employment Opportunity
EPA	Environmental Protection Agency
FAA	Federal Aviation Agency
FBI	Federal Bureau of Investigation
GSA	General Services Administration
HRM	Human Resource Management
HUD	Housing and Urban Development
INS	Immigration and Naturalization Service
IRS	Internal Revenue Service
NAPA	National Academy of Public Administration
NASA	National Aeronautics and Space Administration
NOAA	National Oceanic and Atmospheric Administration
NAVAIR	Naval Air Systems Command
NAVSEA	Naval Sea Systems Command
OPM	Office of Personnel Management
PCMI	President's Council on Management Improvement
SSA	Social Security Administration
VA	Veterans Administration

HUMAN RESOURCE MANAGEMENT IN THE FEDERAL GOVERNMENT

OBJECTIVES, SCOPE, AND METHODOLOGY

In a September 10, 1985, letter, the former Chairman, Subcommittee on Federal Services, Post Office, and Civil Service, Senate Committee on Governmental Affairs, asked us to prepare an inventory of innovative Human Resource Management (HRM) practices in federal departments and major independent agencies so that agencies could learn what other agencies were doing.

To provide the information requested, we

-- developed and used a questionnaire to determine the status of HRM practices in the 13 departments and 6 major independent agencies, covering 71 organizational units employing about 92 percent of the executive branch's full-time, permanent civilian work force. To develop our survey questions, we consulted with experts and examined relevant literature. For the survey, we developed a list of 61 types of HRM practices and asked agencies to indicate which practices were being planned, which had been implemented, and which contributed significantly to their operations. Agencies responded using their own definition of significance. We organized the 61 types of HRM practices into 5 overall categories and various subcategories to better describe the wide range of practices employed. (See app. II.)

-- conducted site interviews with program officials and reviewed agency documents pertaining to selected applications of practices. (See app. III for 15 examples of agency applications of practices.)

-- developed an inventory of 96 applications the agencies reported as being innovative. (See app. IV.)

-- conducted telephone interviews with agency officials to obtain their views on the impact of these applications on productivity, organizational effectiveness, and potential cost savings. (See app. IV.)

Appendix V contains the HRM practice definitions we developed and used to obtain the status of agency applications of HRM practices.

The information in this fact sheet is based on agency reported data. We did not independently verify the data's accuracy or the accuracy of reported benefits and cost savings. If an agency identified a practice as being "innovative," we did not validate the claim or address the scope, depth, or effectiveness of its implementation. Our audit work, which took place from December 1985 through August 1986, was done in accordance with generally accepted government auditing standards.

BACKGROUND

Many productivity experts believe that an important way to improve productivity is to improve the management of people. The term "human resource management" was introduced in the 1950s to expand the focus of personnel management from its emphasis on traditional functions such as recruiting, selection, and pay and benefits. HRM introduced additional strategies to address the needs of increasingly complex organizations, the changing work force, advanced technology, and the external environment. According to the literature, an organization employing an HRM strategy

-- emphasizes the integration of its mission and future direction with the planning and management of its work force,

-- fosters a collaborative relationship between management and employees and encourages employee involvement, and

-- addresses not only the development and motivation of individual employees but also the development of work units and the organization as a whole.

The President's Productivity Improvement Program, implemented by Executive Order 12552, dated February 25, 1986, recognized the importance of employees and strategies to improve federal productivity. Guidance issued by the Office of Management and Budget requires managers to involve employees in all aspects of the Productivity Improvement Program.

Since implementation of the Civil Service Reform Act (CSRA) of 1978 (5 U.S.C. 1101), there have been a number of efforts to improve the way the government manages its human resources. The National Academy of Public Administration (NAPA), the President's Council on Management Improvement (PCMI), and a Department of Defense (DOD) task force have all studied or initiated efforts

aimed at strengthening the role of federal managers or introducing new managerial practices. The following discussion highlights these efforts.

National Academy of Public Administration

In 1983 a NAPA panel reported on its assessment of how excessive personnel controls constrain federal managers.[1] The panel stated that a more advanced concept of a personnel system was needed to go beyond the advances of the CSRA by placing the responsibility for effective personnel management squarely in hands of line managers rather than in the personnel organization. Accordingly, managers would be given more direct authority over personnel management activities and be allowed to help design personnel systems so that managerial rather than procedural needs dominate the design.

President's Council on Management Improvement

In late 1984, PCMI initiated a study of exemplary personnel operations in the private and public sectors.[2] The aim of this study was to transfer innovative HRM practices to the federal government, thereby improving how the federal government manages its human resources. The PCMI said six federal agencies are implementing such HRM practices as establishing an organizational development role for the personnel organization, using indicators to measure the efficiency of personnel administration activities, and initiating employee involvement programs. The PCMI is currently evaluating the feasibility of wider use of these practices. The results are scheduled to be reported by the middle of 1987.

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[1] Revitalizing Federal Management: Managers and their Overburdened System, The National Academy of Public Administration, November 1983.

[2] A Study of Private Sector/State and Local Government Personnel Operations: Prototype Specifications, McManis Associates, Inc., June 1985.

Department of Defense Task Force on Productivity in Support Operations

The DOD Task Force on Productivity in Support Operations reported in July 1986 that it had developed a strategy for organization-wide quality and productivity improvement actions.[3] To implement this strategy, the Secretary of Defense, in February 1987, directed the military services and defense organizations to implement a mechanism--"productivity and quality teams"--for involving managers in reviewing successful productivity initiatives and removing impediments to productivity. These teams would encourage suggestions from employees and support first-line supervisors by removing impediments to operations.

[3]Report of the DOD Task Force on Productivity in the Support Operations, Institute for Defense Analyses, March 1987.

AGENCY APPLICATION OF HUMAN RESOURCE MANAGEMENT PRACTICES

Federal agencies responding to our questionnaire reported using a wide variety of HRM practices to manage their human resources. Some of these practices have been used in the federal government for years, while others are now just appearing. Some are required by legislation. The 71 organizations reported 2,340 applications of the 61 types of practices. More than one-third of these applications were introduced during the last 5 years.

Frequency of implementation of specific HRM practices varied widely in the federal government as a whole, as shown in table II.1. Twenty-six of the 61 practices were being applied in over 60 percent of organizations surveyed. For example, quality circles[1] are being used by 62 percent of the organizations and an expanded role for personnel specialists has been applied by 82 percent. In contrast, four of the practices were being applied by 20 percent or less of the organizations we surveyed.

The percent of the 61 types of practices which any single agency has implemented also differs widely (see fig. II.1). Eight organizations report applying over 80 percent of the 61 practices, while eight other organizations report applying fewer than 25 percent of the practices. On average, each organization had applied about 33 of the 61 practices listed in our survey. We are not endorsing the application of the 61 practices and did not determine reasons why practices were or were not applied. We also did not address how the practices were applied within each of the organizations.

According to some agencies, to more effectively achieve their missions and improve productivity, they were (1) attempting to integrate various HRM practices into comprehensive and permanent systems, (2) conducting long-range HRM planning, (3) assuming greater leadership roles in changing organizational culture, and (4) increasing employee involvement in problem solving.

---

[1]Groups of employees engaged in solving problems or addressing specific issues at the operating level.

Agencies reported that 42 percent of HRM practices contribute significantly to improving agency performance. Applications of practices most frequently identified as significantly contributing included:

-- advanced training technology,
-- automated personnel administration information systems,
-- dual career paths for specialists,
-- organizational assessment/diagnosis,
-- employee suggestion systems, and
-- work force planning.

Table II.2 (p. 16) shows the number of agencies that reported using the 61 types of HRM practices we surveyed and whether the agencies indicated that practices contribute significantly to improving performance. These practices are defined in appendix V.

On average each organization reports it is planning to implement about five practices. The following practices were most frequently cited as being planned by the 71 agencies:

-- automated job skill selection,
-- research and development in HRM,
-- streamlining personnel administration,
-- comprehensive personnel administrative indicators,
-- strategic human resource planning, and
-- managerial advisory group to personnel.

APPENDIX II

Table II.1: Percent of Agencies that Reported Implementing Specific HRM Practices

81 To 100 Percent

Performance standard for affirmative action/equal employment opportunity
Permanent part-time job arrangements
Suggestion systems
Expanded role for personnel specialists

61 To 80 Percent

Automated personnel administration information system
Use of generic positions and performance standards
Team building
Career management
Organization downsizing
Workforce planning
Orientation for new employees
Human resource development element in performance appraisal
Job rotation
Top management position for HRM official
Cross-training
Outplacement services
Advanced training technology usage
Incentives program
Employee and family services
Stress management/health and fitness programs
Employee complaint hotline
Streamlining personnel administration
Quality circles
Targeting women and minorities for managerial positions
Joint labor management committee
Employee involvement in performance management systems

41 To 60 Percent

Expanded authority to managers for HRM decisions
Physical work environment changes
Comprehensive personnel administration indicators

41 To 60 Percent

Employee/employer committees or councils
Organizational development services
Strategic human resource planning
Job enrichment/job enlargement
Strategies for transfer of HRM innovations
Organization assessment/diagnosis
Mentor system
HRM focused surveys
Managerial advisory groups to personnel
Cultivation of leadership excellence
Quality of work life programs
Networking
Management succession planning
Separate HRM staff
Participative management/employee involvement training
Futuring/visioning
Alternatives to hierarchical structure
Job training

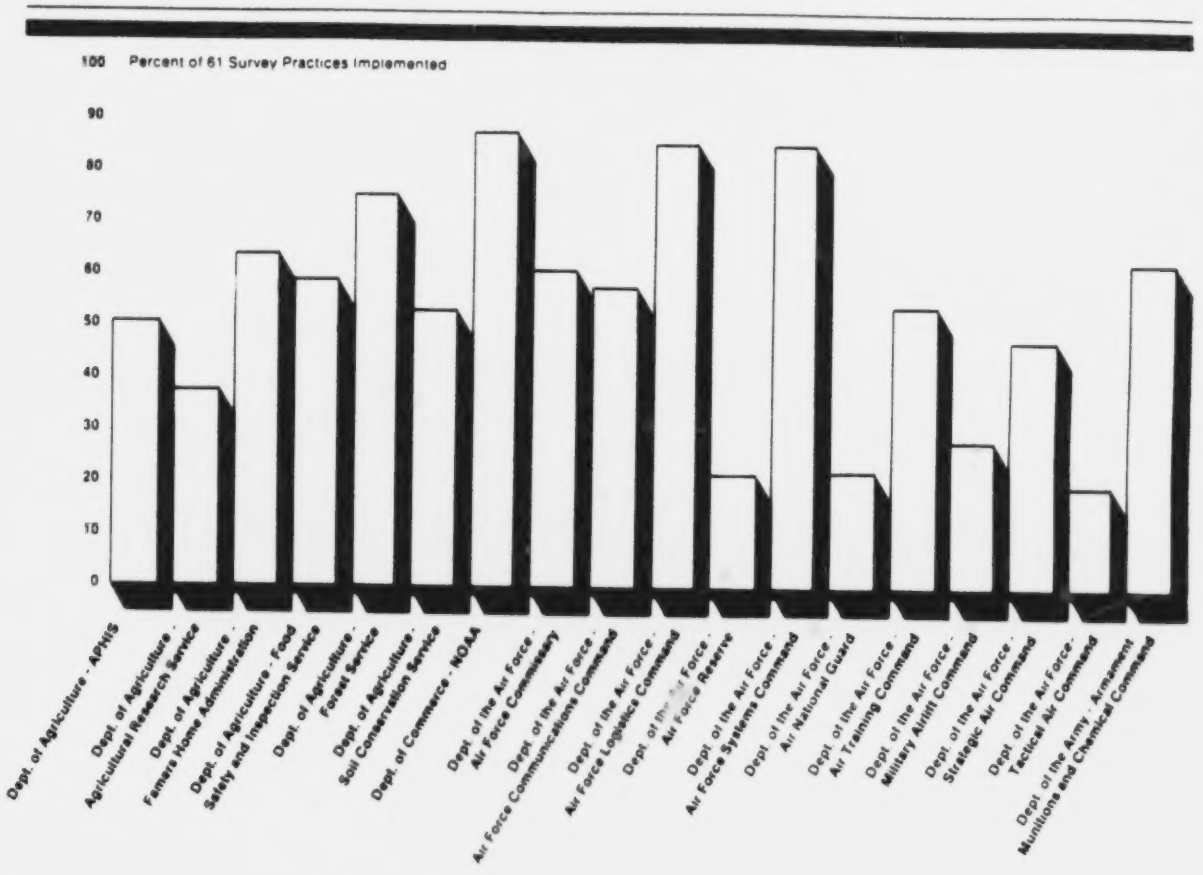
21 To 40 Percent

Dual career paths for specialists
Socio technical systems
Automated job skill selection
Volunteering for work assignments
Transition arrangements at retirement
Employee benefits cost containment
Managerial assessment centers
Continuity of HRM innovations
Leadership transition services
Research and development in HRM

0 To 20 Percent

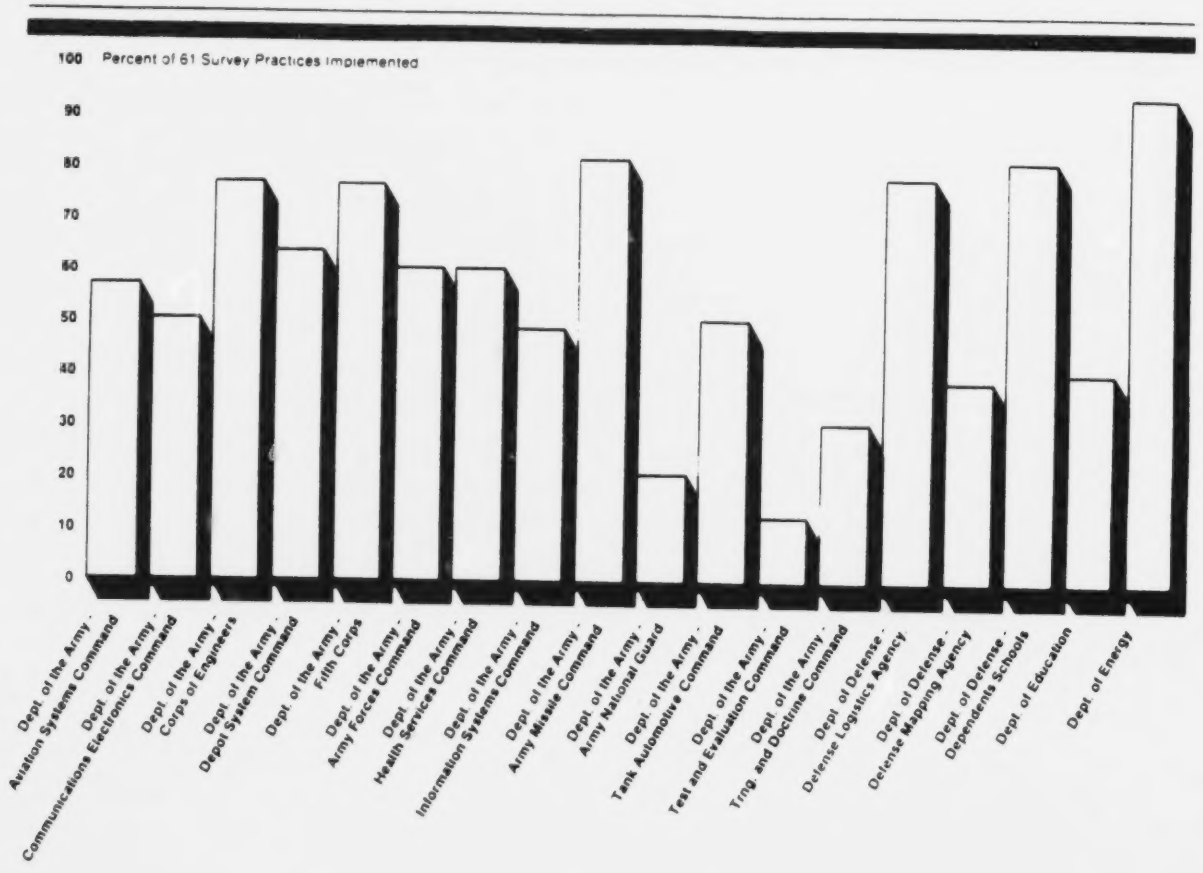
Gainsharing
Work sharing
Pay-for-knowledge
Work-at-home arrangements

Figure II.1: Extent to Which Agencies Implemented the 61 HRM Practices We Indentified


Percent of 61 Survey Practices Implemented
100
90
80
70
60
50
40
30
20
10
0
Dept. of Agriculture - APHIS
Dept. of Agriculture - Agricultural Research Service
Dept. of Agriculture - Famers Home Administration
Dept. of Agriculture - Food Safety and Inspection Service
Dept. of Agriculture - Forest Service
Dept. of Agriculture - Soil Conservation Service
Dept. of Commerce - NOAA
Dept. of the Air Force - Air Force Commissary
Dept. of the Air Force - Air Force Communications Command
Dept. of the Air Force - Air Force Logistics Command
Dept. of the Air Force - Air Force Reserve
Dept. of the Air Force - Air Force Systems Command
Dept. of the Air Force - Air National Guard
Dept. of the Air Force - Air Training Command
Dept. of the Air Force - Military Airlift Command
Dept. of the Air Force - Strategic Air Command
Dept. of the Air Force - Tactical Air Command
Dept. of the Army - Armament Munitions and Chemical Command

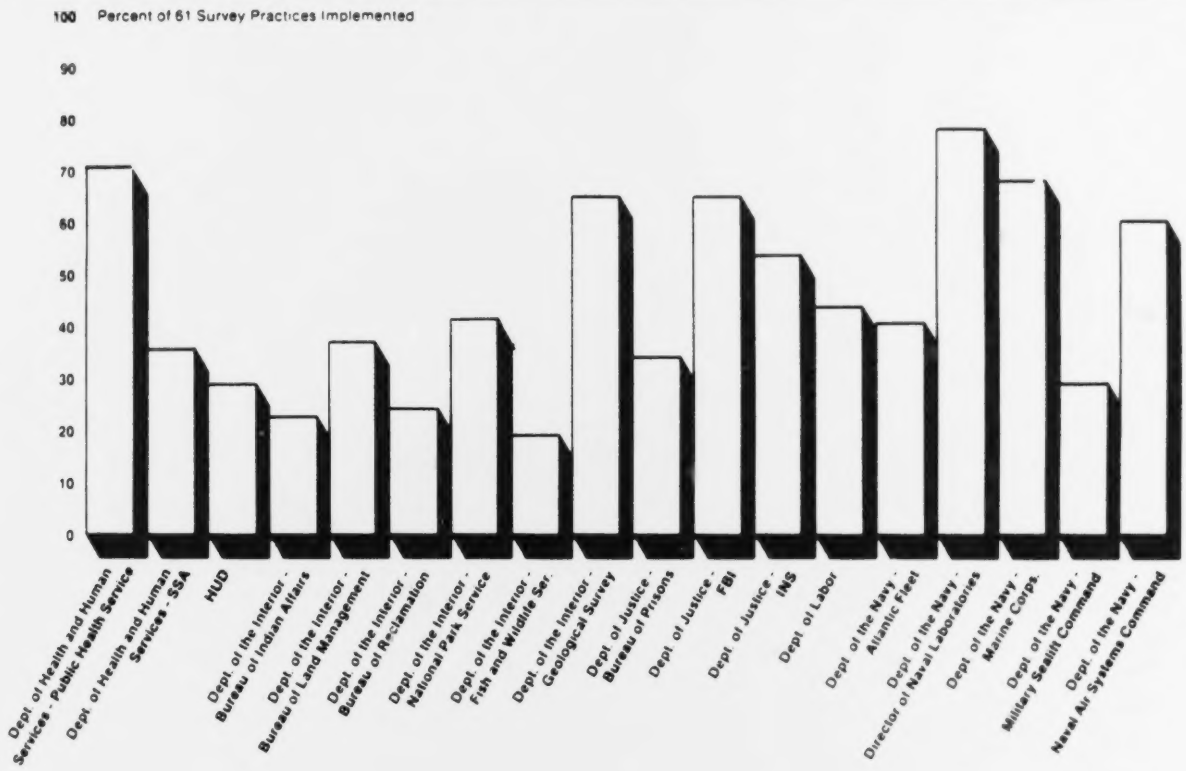
APPENDIX II

Figure II.1: Extent to Which Agencies Implemented the 61 HRM Practices We Indentified


100
Percent of 61 Survey Practices Implemented
90
80
70
60
50
40
30
20
10
0
Dept. of the Army - Aviation Systems Command
Dept. of the Army - Communications Electronics Command
Dept. of the Army - Corps of Engineers
Dept. of the Army - Depot System Command
Dept. of the Army - Fifth Corps
Dept. of the Army - Army Forces Command
Dept. of the Army - Health Services Command
Dept. of the Army - Information Systems Command
Dept. of the Army - Army Missile Command
Dept. of the Army - Army National Guard
Dept. of the Army - Tank Automotive Command
Dept. of the Army - Test and Evaluation Command
Dept. of the Army - Trng. and Doctrine Command
Dept. of Defense - Defense Logistics Agency
Dept. of Defense - Defense Mapping Agency
Dept. of Defense - Dependents Schools
Dept. of Education
Dept. of Energy

APPENDIX II

Figure II.1: Extent to Which Agencies Implemented the 61 HRM Practices We Indentified


100
Percent of 61 Survey Practices Implemented
90
80
70
60
50
40
30
20
10
0
Dept. of Health and Human Services - Public Health Service
Dept. of Health and Human Services - SSA
HUD
Dept. of the Interior - Bureau of Indian Affairs
Dept. of the Interior - Bureau of Land Management
Dept. of the Interior - Bureau of Reclamation
Dept. of the Interior - National Park Service
Dept. of the Interior - Fish and Wildlife Ser.
Dept. of the Interior - Geological Survey
Dept. of Justice - Bureau of Prisons
Dept. of Justice - FBI
Dept. of Justice - INS
Dept. of Labor
Dept. of the Navy - Atlantic Fleet
Dept. of the Navy - Director of Naval Laboratories
Dept. of the Navy - Marine Corps
Dept. of the Navy - Military Sealift Command
Dept. of the Navy - Naval Air Systems Command

APPENDIX II

Figure II.1: Extent to Which Agencies Implemented the 61 HRM Practices We Indentified

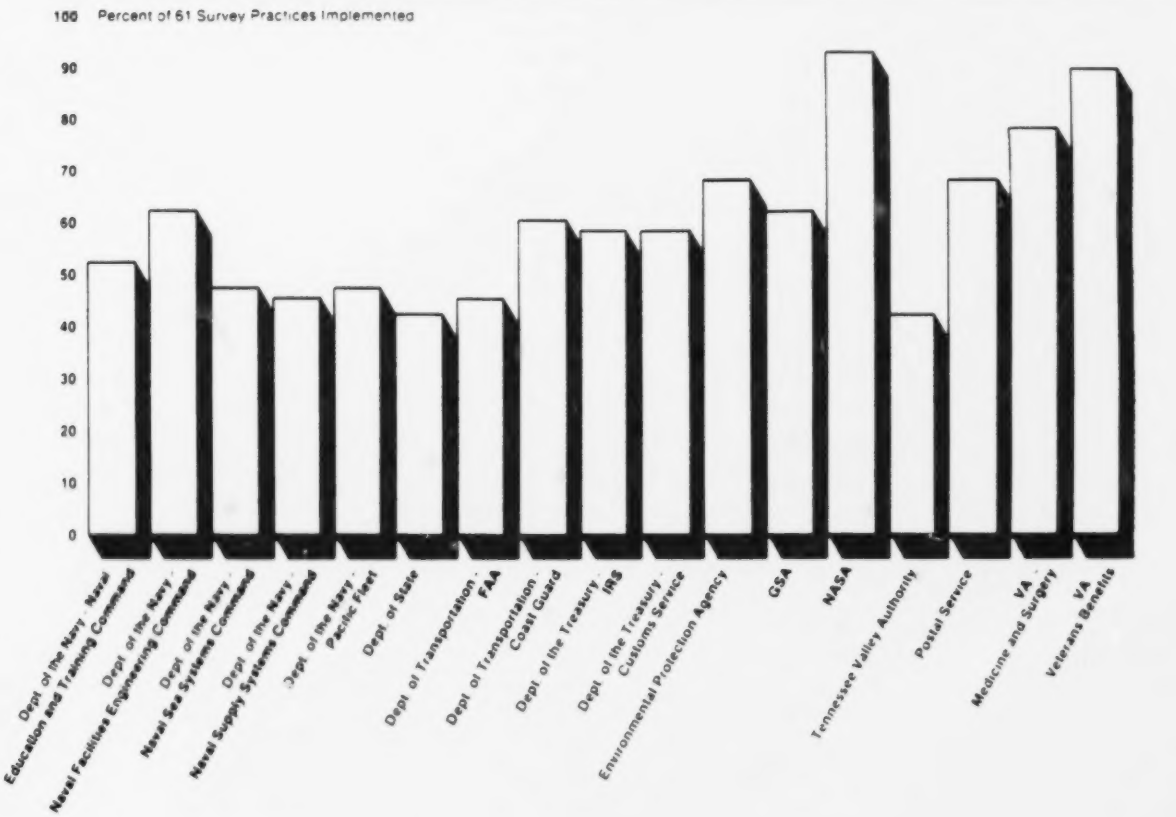


Table II.2: HRM Practices Reported to Contribute Significantly in 71 Agencies[a]

	Number of agencies implementing practice	Agencies reporting practice contributes significantly to operations	
		Number	Percent
HRM Planning and Leadership			
Planning			
Futuring/visioning	32	11	34.4
Strategic human resource planning	39	14	35.9
Workforce planning	51	30	58.8
Management succession planning	34	14	41.2
HRM-focused surveys	36	11	30.6
Organization assessment/diagnosis	36	20	55.6
Human Resource Staff Role			
Top management position for HRM official	48	23	47.9
Separate HRM staff	34	15	44.1
Continuity of HRM innovations	21	4	19.1
Research and development in HRM	20	9	45.0
Managerial performance			
Expanded authority to managers for HRM decisions	42	21	50.0
Leadership transition services	21	5	23.8
Cultivation of leadership excellence	34	16	47.1
Acquiring and Placement of Human Resources			
Selection			
Performance standard for affirmative action/ equal employment opportunity	70	28	40.0
Targeting women and minorities for managerial positions	43	18	41.9
Automated job skill selection	26	12	46.2
Placement			
Outplacement services	47	18	38.3
Transition arrangements at retirement	24	10	41.7
Job Sharing	29	3	10.3
Use of generic positions and performance standards	53	23	43.4
Job rotation	48	19	39.6

[a]Practices are defined in appendix V.

APPENDIX II

Table II.2: HRM Practices Reported to Contribute Significantly in 71 Agencies[a]

	Number of agencies implementing practice	Agencies reporting practice contributes significantly to operations	
		Number	Percent
Organizational Effectiveness			
Organization System Changes			
Organizational development services	40	18	45.0
Organization downsizing	52	26	50.0
Alternatives to hierarchical structure	32	11	34.4
Work Place/Job Design			
Work sharing	13	4	30.8
Physical work environment changes	41	17	41.5
Socio-technical systems	27	8	29.6
Job enrichment/job enlargement	38	16	42.1
Permanent part-time job arrangements	64	18	28.1
Work-at-home arrangements	7	1	14.3
Organizational Communications Improvements			
Team building	53	19	35.9
Quality of work-life program	34	16	47.1
Networking	34	17	50.0
Strategies for transfer of HRM innovations	37	10	27.0
Employee Performance/Utilization			
Involvement			
Joint labor-management committees	43	19	44.2
Quality circles	44	14	31.8
Employee/employer committees or councils	40	17	42.5
Participative management/employee involvement training	33	14	42.4
Suggestion systems	59	36	61.0
Employee complaint hotline	45	12	26.7
Incentives			
Gainsharing	14	5	35.7
Volunteering for work assignments	24	10	41.7
Dual career paths for specialists	28	16	57.1
Incentive programs	46	22	47.8
Pay-for-knowledge	8	3	37.5

[a]Practices are defined in appendix V.

APPENDIX II

Table II.2: HRM Practices Reported to Contribute Significantly in 71 Agencies[a]

	Number of agencies implementing practice	Agencies reporting practice contributes significantly to operations	
		Number	Percent
Employee Performance/Utilization			
Development			
Career management	52	26	50.0
Employee and family services	46	24	52.2
Stress management/health and fitness programs	45	16	35.6
Orientation for new employees	51	25	49.0
Cross-training	48	24	50.0
Advanced training technology usage	47	29	61.7
Mentor system	36	9	25.0
Appraisal			
Employee involvement in performance management	43	14	32.6
Managerial assessment centers	22	9	40.9
Human resource development element in appraisal	49	15	30.6
Personnel Office Improvements			
Expanding the role of personnel specialists	58	28	48.3
Managerial advisory groups to personnel	35	17	48.6
Automated personnel administration information systems	56	31	55.4
Comprehensive personnel administration indicators	40	16	40.0
Streamlining personnel administration	45	16	35.6
Employee benefits cost containment	23	4	17.4

[a]Practices are defined in appendix V.

EXAMPLES OF HUMAN RESOURCE MANAGEMENT PRACTICES

The following agency applications of HRM practices were identified through interviews as having a positive impact on agency productivity and organizational effectiveness as well as a corresponding great potential for cost savings. These are examples of applications previously listed in table II.2 that agencies reported as contributing significantly to operations. Most were implemented within the last 3 or 4 years. They cover areas such as leadership, planning, organizational culture change, HRM system improvement, and employee utilization. Agencies identified a number of benefits such as revitalized organizations; improved capability for long-range planning, communications, and decisionmaking; and increased organizational flexibility. Further, agencies indicated that their applications contributed to better utilization of employees, reduced stress, increased motivation and challenge, improved career management, increased efficiency, and cost savings. We did not evaluate these programs or verify the accuracy of the benefits claimed.

CIVILIAN AGENCIES

Civilian agencies reported the following applications as greatly improving agency productivity or effectiveness.

Comprehensive Human Resource Management System

In 1984 the Environmental Protection Agency (EPA), faced with declining employee morale and widespread criticism from external sources, established a top level HRM position, an Office of HRM, and an EPA Human Resources Council as vehicles to help restore the morale of its employees and expand its oversight over increasingly complex programs. EPA's HRM approach resulted from a study by a NAPA panel that analyzed how the agency managed its people and recommended ways to improve its performance.

The Office of HRM at EPA is headed by a director who reports to the Assistant Administrator for Administration and Resources Management. Its mission is to facilitate long-range HRM planning and develop integrated staffing, career management, and employee development systems. It is organizationally separate from the personnel office. The HRM Council and various committees, involving a cross section of about 400 managers and employees nationwide, advise and assist the Office of HRM by (1) helping

define the role of human resource activities, (2) providing a sounding board for review of alternative approaches, and (3) acting as a catalyst to improve the agency's management of people.

EPA reports that this new HRM focus has led to the following specific actions:

-- Deputy Administrator use of an HRM checklist in regular discussions with regional administrators to determine the status of their HRM activities;

-- completion of a comprehensive EPA study[1] on that agency's requirements for scientific knowledges, skills, and abilities to better match employee resources with organizational needs; and

-- EPA initiation of a pilot project to develop HRM measures and to examine the relationship of HRM practices to improving productivity.

EPA has conducted two employee surveys to obtain feedback about the progress of its program. It found that as a result of changes in its human resource management, morale improved, confidence in top management increased, relations with supervisors were better, and employees perceived greater opportunities for advancement. EPA also reports that its emphasis on HRM issues has improved communication, decisionmaking, and performance.

Strategic Human Resource Planning

In 1982 the National Aeronautics and Space Administration's (NASA) Lewis Research Center began a long-term effort at the executive level to create a more productive and efficient organization as well as to encourage greater employee involvement, participative management, and consensus decisionmaking. To implement this effort, the Center formed a strategic planning committee which assessed organizational strengths and weaknesses, developed a future plan, and determined roles and responsibilities. The Center Director also met with

[1]Job Analysis of Job Series 1301 (Physical/Environmental Scientists) and 1320 (Chemists), JWK International Corporation, March 1987.

senior NASA management to address key issues. The Center administered an organizational survey to assess managerial practices used and to provide managers with feedback for identifying their own strengths and improvement needs.

To achieve its goal of increased participative management, in 1983 NASA initiated a quality circle program on a pilot basis. This program involved teams of employees from all organizational levels meeting weekly to identify, analyze, and solve problems affecting the quality and productivity of their work. By 1986 about 10 percent of the Center's workforce was participating in 40 circles. The Center reports that employee morale, cooperation, and productivity have improved as a result of these circles.

According to NASA, this planning process is also beginning to generate other benefits. For example, the identification of excessive managerial levels has led the Center to eliminate one layer of its management structure. Also, an employee survey shows that most employees now believe they have an opportunity to participate in decisions affecting their work--a major goal of the strategic planning process.

Research and Development in Managerial Competencies and Organizational Culture

NASA has been conducting HRM research to develop a basis for improving managerial and organizational performance. The aim of its research is to create an organization where managers are rewarded for achieving peak performance. NASA research staff have constructed a theoretical framework for guiding its research. This framework indicates that individual and organizational performance are influenced by an organization's culture, as expressed through its climate and management practices. NASA's research has primarily focused on identifying managerial competencies apparent in its most effective executives and managers and those organizational conditions that result from their managerial performance. Recently, NASA initiated a study to describe its organizational culture and to determine any needed change.

Based upon its research findings, NASA reported it has developed self-assessment tools that managers use to determine the degree to which they use practices associated with excellence. NASA also reported using the research findings in developing its executive and managerial training programs.

Matrix Management

NASA's Goddard Space Flight Center relies heavily upon a matrix structure to manage its spacecraft projects. Under this structure, technical employees can be administratively assigned to a "home" organization while being physically located elsewhere with a project to perform specialized tasks. This arrangement allows the organization to have flexibility in assigning its personnel. After a 1980 reorganization of its matrix structure, the Flight Project Directorate reported it could manage its projects with about 200 fewer employees. This staff was then made available for other project work.

The Center reports that its matrix structure enables more efficient utilization and development of employees. According to the Center, the matrix structure

-- creates an environment in which employees can be brought together quickly to effectively solve problems because they are accustomed to working together,

-- increases employee identification with Goddard and NASA and enhances the employee's sense of responsibility because many Center members share in the successes and failures of projects,

-- provides multiple communication channels as well as additional checks and balances to minimize poor decisionmaking, and

-- enables Goddard to meet employee needs by affording employees a greater variety of work experiences and by providing highly motivated employees with increased opportunities and challenges.

Labor-Management Cooperative Effort

In 1980, the Internal Revenue Service (IRS) and the National Treasury Employees Union entered into a labor-management cooperative effort to improve IRS' labor/management relationship. National and local committees were formed with representatives from the union and IRS. They began a series of joint projects that included development of an incentive pay program and day care centers.

As their first project, in 1982 the IRS and the union jointly initiated an experimental incentive pay program to provide bonuses to data transcribers who exceeded a predetermined level of performance. Under the program, 50 percent of any

generated savings beyond this performance level is paid to employees as a bonus. After a 9-month test period at the 4 IRS service centers, the program was expanded to all 10 service centers.

Both IRS and the union view the incentive pay program as a successful example of labor-management cooperation and believe that the program has improved employee performance and retention and reduced absenteeism. IRS is currently evaluating the program to determine its actual effectiveness. The two parties also agree the cooperative effort has been successful in solving mutual problems and improving communications. As an indicator of the effort's impact, both IRS and the union point to the 8-month decrease in time required to complete contract negotiations since the committee was established.

Advanced Training Technology

Over the next 10 years, the Federal Aviation Administration (FAA) will undergo major modernization creating an enormous demand for training. FAA will use computer-based instruction to train engineers, electronics technicians, air traffic controllers, and other technical personnel which represent a major portion of FAA's approximately 46,000 employees. FAA estimates that it has avoided $10 million in prior training costs through use of this form of training. Recent cost benefit analyses indicate this training could reduce future expenditures for training air traffic controllers, who represent about 45 percent of FAA's work force, by about $14 million between 1988 and 1993.

According to FAA, computer-based instruction results in avoiding some training costs because it reduces the time students and instructors must spend in the classroom. For example, FAA reports that in the air traffic controller program, it reduced staff classroom training hours by about 50 percent and required 30 percent less student time than conventional classroom instruction. It also enables employee training to be scheduled around the existing workload and according to employee/ supervisory needs. FAA believes students using this training retain more material than through classroom instruction.

Stress Management/Health and Fitness Program

The Federal Bureau of Investigation (FBI) is building a comprehensive approach for improving the physical and psychological well-being of its employees. The program has a

research and education component and provides employee services, such as crisis intervention, counseling, physical fitness exams, and exercise programs. It also assists managers and supervisors in dealing with employee problems.

The FBI has undertaken several activities to ensure the health of employees. All applicants for employment must undergo physical exams to assess their strengths and limitations. Agents under 33 years old receive a physical exam every 3 years, and agents over 33 years old receive one annually. Agents are counseled on exam results, and decisions are made about their ability to continue active duty. The FBI also conducts stress management training throughout its offices, and provides special services to employees involved in shooting incidents.

Outplacement/Organization Development Programs

The Department of Housing and Urban Development (HUD) established an outplacement program in fiscal year 1982 to help reduce its workforce. The program's goals were to minimize the impact of cutbacks on employees and to reduce agency costs. Since the program's inception, 88 workshops have been conducted to help employees find jobs.

According to HUD, its outplacement program prevented 159 employees from being terminated during fiscal years 1982 through 1984 by helping them find other jobs both within HUD and other federal agencies. This resulted in reduced severance pay, unemployment costs, and terminal leave expenses. The program has enabled employees to accept the reality of HUD downsizing and to plan accordingly. HUD reported that during this period of cutbacks, it has attempted to consider employee needs by providing employees with counseling, training in job search techniques and interviewing skills, and job referral services. HUD reported that few formal grievances were filed and workload pressures on its personnel office staff were reduced.

HUD said it has also provided organizational development services to its workgroups to help them during this cutback environment. As a result, managers and employees have set mutual goals and improved teamwork, while HUD has found ways to work with fewer employees.

Career Management

The Coast Guard has implemented a 3-day, out-of-town career enhancement seminar for employees in career limiting clerical positions. Over 300 employees have attended the seminar and participants rate it highly. Coast Guard reports that the

seminar not only enables management to show interest in the career opportunities of the clerical work force, but that it is also an inexpensive way to enhance the development of these employees.

Both management and employees report that the seminar has improved trainee attitudes, morale, and team spirit. It has reportedly helped participants develop career planning skills, obtain information about entering the professional ranks, learn about personnel procedures, and develop organizational contacts to help them fulfill their own career objectives.

DEFENSE AGENCIES

Defense agencies report the following applications as greatly improving agency productivity or effectiveness.

Model Installation Program

In late 1983, as part of DOD's Model Installation Program, four Marine Corps installations were designated to experiment with new approaches to improve the workplace and operations. DOD's program gives base commanders authority to eliminate regulations that impede efficiency and to introduce new ways of improving productivity. The program was implemented with no additional staff, funding resources, directives, or reporting requirements. Savings generated are to be used by base commanders to improve working conditions. Since the program's inception, over 1000 ideas have been submitted to management. Of these, over 300 were approved, with many expanded for use throughout the Corps.

The Corps reported that the approved suggestions led to streamlined procedures, decreased reporting requirements, and reduced administrative workload or costs. For example, the Corps said an employee suggestion calling for the purchase of fewer technical manuals for commercial vehicles led to a $60,000 savings for the Corps and a $1.5 million savings when implemented across DOD. Officials at the model installations believe the program has provided a greater employee focus on organizational needs, improved employee morale, stabilized personnel retention, decreased disciplinary actions, and improved customer service.

Quality Circles

The Army Depot System Command began its Quality Circles Program in 1980 with a goal of increasing productivity and product quality through employee involvement in identifying and solving work-related problems. By 1985, 9 percent of the

Command's workforce was participating in about 400 circles. In fiscal year 1985, the Command reported an average annual cost savings of $9,270 for each circle and total savings of $4 million Command-wide. This represents a return of $2.60 for every $1.00 spent.

The Command reports that quality circles have also produced intangible benefits, such as improved quality and safety, reduced absences and grievances, and upgraded working conditions. Other hard-to-measure, but important, by-products of these quality circles include improved communication, motivation, and teamwork, as well as a closer identification of employees with organizational goals.

Total Quality Management Program

Building upon its quality circles program and other productivity improvement processes, the Naval Air Systems Command (NAVAIR) began implementing "total quality management programs" at its six Naval Air Rework Facilities in 1984. The "total quality management program" was based on management's assumption that most organizational problems are under the control of management. It is a comprehensive, long-range, top-down approach that seeks to change the organization's culture so that quality becomes the top priority. The process attempts to improve the quality of services by involving managers, supervisors, and employees. The process includes the use of quality circles at the shop level and quality management boards involving managers to address organizational issues.

The North Island rework facility has NAVAIR's most established "total quality management program." It is reported to be solving problems, such as excessive storage of raw stock and a high parts rejection rate. Two work groups report they resolved their mutual conflict and, as a result, have reduced the defect rate on one of their products from 70 percent to less than 10 percent.

Leadership Development

In order to strengthen its management's skills NAVAIR established the Naval Aviation Executive Institute. The Institute provides resources and information to help participants more fully comprehend the challenges and opportunities of public service management, particularly as they relate to NAVAIR, the Department of the Navy, and DOD. To date, over 6,000 managers have participated in the Institute's training programs and courses.

The Institute offers various programs to enhance the capabilities and performance of incumbent and emerging managers and executives. For example, a program for managers concentrates on identifying their strengths and weaknesses, as well as addressing managerial theory and managerial practices. The program for senior executives provides them with a rotational assignment and includes a mentor system and a defense systems management course.

An agency official reported that the program has enabled its managers to cope with the mounting pressures of greater workloads, workforce reductions, and acquisition reform.

Automated Workforce Forecasting

The Naval Sea Systems Command (NAVSEA) headquarters staff has used computer personnel flow models to aid managers in decisionmaking. These models are techniques for conducting a form of workforce planning, which predict workforce patterns and provide information on workforce reduction options. In February 1985, NAVSEA was faced with the problem of decreasing its workforce in eight shipyards. Introduction of these computer models enabled shipyard management to make decisions to avoid technical and clerical skill shortages and severe organizational disruption.

The shipyards were able to make decisions to decrease personnel through attrition and to better utilize employees by moving some from administrative staff to line positions. As a result, NAVSEA reports it may have saved over $15 million at one of its shipyards during 1985 and 1986 by avoiding high severance pay and unemployment costs associated with involuntary termination of employees.

Finally, NAVSEA reports the shipyards used the computer models to obtain more timely workforce data. It found that greater long-term efficiency can result from having a permanent workforce for normal activities and a temporary workforce on call at each shipyard to handle workload increases.

Reorganizing for Productivity and Human Resource Enhancement

In 1985 the Air Force Commissary Service consolidated 16 complexes into eight regions to increase managerial effectiveness, streamline operations, improve patron service, and

better utilize employees. It carried out this downsizing while minimizing the adverse impact on employees. Employees were individually counseled and reassigned, and no jobs were downgraded.

In September 1985, the Air Force Commissary Service introduced a program, the "Excellent Commissary Service," to eliminate impediments to efficiency and to encourage employee contributions. Managers were given greater authority to introduce their own initiatives to improve efficiency and customer service. Employees are now encouraged to make a conscious effort to improve their stores and to consider no problem unsolvable.

Several positive benefits are being reported from both programs, including greater upward mobility, motivation, innovation, and employee self-fulfillment.

INVENTORY OF INNOVATIVE HUMAN RESOURCE MANAGEMENT APPLICATIONS

Organizations need innovative policies and practices to encourage employees to seek new ideas, solve problems, and to experiment.[1] According to our literature review, many public and private enterprises are using emerging HRM strategies, such as strategic planning, organizational development services, and alternatives to hierarchical structures, to improve the management of people. Such innovation, which can be used at many organizational levels, helps organizations stay ahead of a changing environment and increases their ability to be responsive and adapt to change.

We defined an innovative practice as a unique method to improve the performance of federal government operations. Our definition included applications that went beyond federal regulation and generally accepted practice and may have involved adaptation or creative application of an existing practice. We asked agencies to identify their most innovative practices relative to this definition.

Responses to our survey questionnaire identified 170 different applications of practices that agencies considered as their most innovative. We screened out 53 applications that agencies had identified as not significantly contributing to agency operations, 16 that had not been implemented, and 5 on which agencies declined to comment. As a result, we developed an inventory of 96 applications of HRM practices the 71 agencies reported as both innovative and as contributing significantly to agency performance.

Agencies described the organizational impact of these 96 applications by responding to our structured telephone interview instrument. Agency officials reported that overall, these 96 applications (1) had a positive impact on improving agency productivity, (2) greatly improved organizational effectiveness, and (3) had great potential for generating cost savings. In terms of productivity, figure IV.1 (p. 31) shows that agencies reported that over 85 percent of their applications have a positive effect on improving the quantity, quality, and timeliness of outputs produced. In terms of cost savings, figure IV.2 (p. 31) shows that agencies reported that 50 percent of

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[1]Rosabeth Moss Kanter, The Change Masters, Simon and Schuster, 1983.

their applications have great potential for generating short-term cost savings, and that over 60 percent report their applications have great potential for generating long-term cost savings. In terms of organizational effectiveness, figure IV.3 (p. 32) shows that agencies reported that over half of their applications greatly improve group problem solving, organizational planning, employee cooperation and coordination, employee motivation, and managerial and supervisory effectiveness. We did not verify claimed improvements or evaluate whether applications were innovative.

Table IV.1 (p. 33) lists the 96 innovative applications identified through our survey instrument and describes the reported benefits of each in terms of impact on productivity, organizational effectiveness, and potential cost savings. Table IV.2 (p. 42) provides a directory of agency contacts for the 96 applications to help agencies learn about each others' innovative applications.

Figure IV.1: Impact of Innovative Applications on Improving Productivity

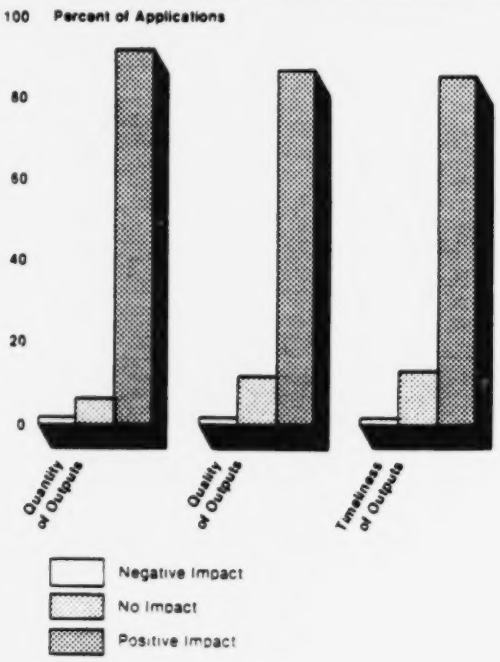
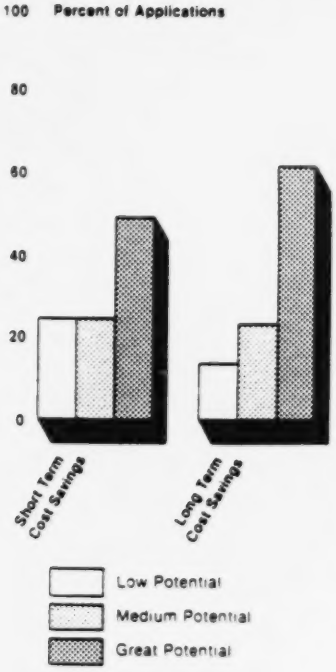
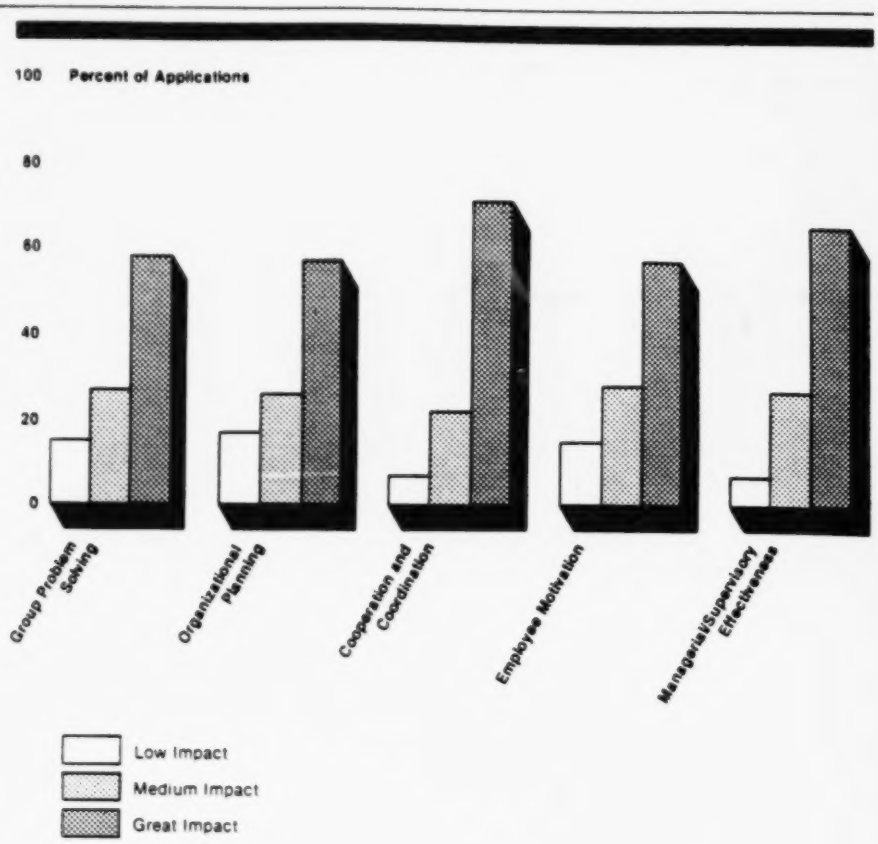


Figure IV.2: Innovative Applications Potential for Generating Cost Savings



APPENDIX IV

Figure IV.3: Impact of Innovative Applications on Improving Organizational Effectiveness



APPENDIX IV

Table IV.1: Inventory of Innovative Agency Applications of HRM Practices and Their Reported Improvements

Applications Practice/Agency	No innovative application reported	Positive impact on productivity: A. Quantity of outputs	B. Quality of outputs	C. Timeliness of outputs	D. Organizational planning	E. Group problem solving	Great improvement in organizational effectiveness: F. Cooperation/coordination	G. Employee motivation	H. Managerial/supervisory effectiveness	Great potential for cost savings: I. Short-term	J. Long-term
1. Futuring/visioning	x										
2. Strategic human resource planning											
-Marine Corps		x	x	x	x				x		x
-NASA		x	x	x	x	x	x	x	x	x	x
3. Workforce planning											
-Agricultural Research Service		x	x	x	x	x	x		x	x	x
-Bureau of Prisons					x				x		x
-Army Health Services Command		x		x							
-Naval Sea Systems Command		x	x	x	x	x	x	x	x	x	x
4. Management succession planning											
-FBI			x								
-Air Force Reserve		x	x	x	x	x			x	x	
-Postal Service			x		x		x				x
5. HRM - focused surveys	x										
6. Organization assessment/ diagnosis											
-Animal Plant and Health Inspection Service (APHIS)		x	x	x		x	x		x		
7. Top mgmt. position for HRM official											
-EPA						x	x	x			x

Note 1: Practices are defined in appendix V.
Note 2: An X indicates a positive response.

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8. Separate HRM staff											
-Customs Service			x		x	x			x	x	x
9. Continuity of HRM innovations	x										
10. Research and development in HRM											
-State Department		x	x	x	x	x	x	x	x		x
-Marine Corps		x	x	x				x		x	x
-NASA		x	x	x	x		x	x	x		x
11. Expanded authority to managers for HRM decisions	x										
12. Leadership transition services	x										
13. Cultivation of leadership excellence											
-Army Corps of Engineers		x	x	x	x		x				x
-Naval Air Systems Command		x	x	x	x	x	x	x	x	x	x
14. Performance standard for affirmative action/Equal Employment Opportunity (EEO)	x										
15. Targeting women & minorities for managerial positions											
-Food Safety & Inspection Service		x	x	x	x			x	x		
-Energy Department		x		x			x	x		x	x

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		Positive impact on productivity				Great improvement in organizational effectiveness					Great potential for cost savings
16. Automated job skill selection											
-Tactical Air Command		x	x	x					x		
17. Outplacement services											
-Forest Service						x	x		x	x	
-HUD		x	x	x	x	x	x		x	x	x
-Army Corps of Engineers		x	x	x				x			
-Army Depot System Command				x							
18. Transition arrangements at retirement	x										
19. Job Sharing	x										
20. Use of generic positions and performance standards											
-Food Safety and Inspection Service			x	x			x	x	x	x	x
-Customs Service		x	x	x			x		x		
-Air Force Reserve		x	x	x	x	x	x	x	x	x	
-Forest Service		x	x	x				x	x	x	x
21. Job rotation	x										

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22. Organizational development services		x	x	x		x	x				
-APHIS		x		x	x	x	x		x	x	x
-HUD		x	x	x							
-Army Health Services Command											
23. Organization downsizing		x	x	x	x	x	x	x	x	x	x
-Agricultural Research Service											x
-Forest Service		x		x							
-Air Force Commissary		x	x	x	x	x	x	x	x	x	x
24. Alternatives to hierarchical structure		x	x	x	x	x	x	x	x	x	x
-NASA							x		x		
-Public Health Service											
25. Work sharing	x										
26. Physical work environment changes	x										
27. Socio technical systems		x	x	x	x	x			x		
-National Oceanic and Atmospheric Administration (NOAA)											
28. Job enrichment/job enlargement	x										

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29. Permanent part-time job arrangements											
-Army Depot System Command		x		x	x			x	x		
-Army Health Services Command		x		x							
30. Work-at-home arrangements	x										
31. Team building	x										
32. Quality of work life program											
-Social Security Administration (SSA)		x		x							
33. Networking											
-Food Safety and Inspection Service		x	x	x	x		x	x	x	x	x
-General Services Administration (GSA)		x	x	x			x	x		x	x
34. Strategies for transfer of HRM innovations	x										
35. Joint labor mgmt. committee											
-Army Missile Command		x	x	x	x	x	x			x	x
-Internal Revenue Service (IRS)		x		x	x	x	x			x	x
36. Quality circles											
-NASA		x	x	x		x	x	x	x		x
-Army Depot System Command		x	x	x	x	x	x	x		x	x
-Naval Air System Command		x	x	x	x	x	x	x	x	x	x

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37. Employee, employer committees or councils											
-Farmers Home Administration		x	x			x	x	x	x		
-Dependent Schools (DOD)			x								
-Environmental Protection Agency		x	x	x		x	x	x	x	x	x
38. Participative mgmt./employee involvement Training -Immigration Naturalization Service (INS)			x	x	x	x	x	x	x	x	x
39. Suggestion systems -Farmers Home Administration		x	x			x	x	x			
-APHIS											x
40. Employee complaint hotline -FAA							x	x			
41. Gainsharing -IRS		x		x	x	x	x			x	
42. Volunteering for work assignments	x										
43. Dual career paths for specialists	x										
44. Incentive programs -Farmers Home Administration		x	x	x				x	x		
-Army Depot System Command		x	x	x				x			

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45. Pay-for-knowledge	x										
46. Career management											
-Forest Service		x		x							
-Strategic Air Command		x	x	x	x	x	x	x	x	x	x
-Coast Guard		x	x			x	x	x	x	x	x
47. Employee and family services											
-Farmers Home Administration		x	x	x			x	x	x		
-SSA		x		x							
-Geological Survey		x	x	x	x	x	x	x	x		
-State Department		x	x	x	x		x	x	x		
-Army Corps of Engineers									x		
-Energy Department		x	x	x		x	x		x	x	x
-Public Health Service		x								x	x
48. Stress management/health and fitness programs											
-FBI		x	x	x	x	x	x	x	x	x	x
-Energy Department		x	x			x	x	x	x	x	x
-Public Health Service		x	x		x	x	x	x		x	x
49. Orientation for new employees											
-Food Safety and Inspection Service			x	x	x		x	x	x		
-Air Force Reserve		x	x		x	x	x	x	x		x
50. Cross-training	x										

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51. Advance training technology usage											
-Soil Conservation Service		x	x	x	x	x	x			x	x
-Bureau of Reclamation		x	x	x	x		x	x	x	x	x
-FAA				x						x	x
-GSA		x	x	x			x	x	x	x	x
-APHIS		x	x	x			x	x	x	x	x
-Naval Supply System Command		x	x	x			x	x	x	x	x
52. Mentor system	x										
53. Employee involvement in performance management systems	x										
54. Managerial assessment centers											
-FAA			x			x	x				x
-SSA		x	x								
55. Human resource development element in appraisal	x										
56. Expanded role of personnel specialists											
-Geological Survey		x	x	x	x	x	x	x	x	x	x
-Veterans Administration (VA)/Medicine and Surgery		x		x		x			x		
57. Managerial advisory groups to personnel											
-Air Force Systems Command		x	x		x		x		x	x	x

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58. Automated personnel administration information system											
-FBI		x	x	x	x	x	x		x		x
-Postal Service		x	x	x		x	x	x		x	x
-Tactical Air Command		x	x	x	x				x		x
-Air Training Command		x		x	x	x	x	x	x	x	
59. Comprehensive personnel administration indicators											
-Army Training and Doctrine Command			x			x			x		
60. Streamlining personnel administration											
-Agricultural Research Service		x	x	x	x	x	x		x	x	
-NOAA			x	x	x	x			x		
-Customs Service		x	x	x	x	x	x			x	x
-Marine Corps		x	x	x	x			x			x
-VA/Veterans Benefits					x						
61. Employee benefits cost containment	x										
Other practices[a]											
-Army Trng. & Doctrine Command (Professor Placement)		x	x	x	x	x	x	x	x		x
-Air Force Commissary (Model Installations)		x				x	x	x	x		x
-Air Force Commissary (Machine Scanning)		x	x		x			x	x	x	x

[a]The organizations responding to our questionnaire listed other HRM practices such as a model installation program.

TABLE IV.2: Agency Directory of Innovative Applications of HRM Practices [a]

Agency	Type of practice [b]	Organizational contact	Phone number
Department of Agriculture			
Agricultural Research Service	3, 23, 60	Personnel Division	301/344-3444
Farmers Home Administration	37, 39, 44, 47	Personnel Office	202/382-1056
Forest Service	20	Office of Personnel and Civil Rights	202/235-8041
Forest Service	17, 46	Office of Personnel and Civil Rights	202/235-8190
Forest Service	23	Office of Personnel and Civil Rights	202/235-9795
Soil Conservation Service	51	Personnel Division	202/447-2558
APHIS	6, 22, 51	Office of Deputy Director	202/436-6466
APHIS	39	Office of Deputy Director	202/436-6658
Food Safety and Inspection Services	15, 20, 33, 49	Personnel Division	202/447-8789
Department of Commerce			
NOAA	27, 60	Office of the Comptroller	202/377-2378
Department of Energy	15, 47, 48	Personnel Division	202/586-8536
Department of Health and Human Services			
SSA	32, 47, 54	Office of Human Resources	301/597-4530
Public Health Service	48	Office of Health Programs	301/443-3024
Public Health Service	24	Personnel Policy and Evaluation Office	301/496-6237
Public Health Service	47	Employee Counseling Services	301/496-3164
Department of Housing and Urban Development	17, 22	Office of Personnel	202/755-4774
Department of the Interior			
Bureau of Reclamation	51	Training Office	202/343-5454
Geological Survey	47, 56	Personnel Branch	703/648-7442
Department of Justice			
INS	38	Office of Plans and Analysis	202/633-3242
FBI	4	Career Board	202/324-5606
FBI	58	Office of Personnel	202/324-4168
FBI	48	Behavioral Science Institute and Research Unit	703/640-6131

[a] Four of the 96 applications are not listed because the agency did not agree to have contact listed.

[b] Number under "Type of practice" corresponds to practice in appendix V.

APPENDIX IV

TABLE IV.2: Agency Directory of Innovative Applications of HRM Practices [a]

Agency	Type of practice [b]	Organizational contact	Phone number
Department of State			
State Department	10	Personnel Management Division	202/647-8934
State Department	47	Family Liaison Office	202/647-1076
Department of Transportation			
Coast Guard	46	Civilian Personnel Office	202/267-0921
FAA	40, 54	Office of Organizational Effectiveness	202/267-3911
FAA	51	Office of Personnel and Technical Training	202/267-8037
Department of the Treasury			
Customs Service	8, 20, 60	Office of Human Resources	202/377-9205
IRS	35	Labor Relations Section	202/376-0575
IRS	41	Human Resources Branch	202/376-0497
Environmental Protection Agency	7, 37	Office of Human Resource Management	202/382-3311
General Services Administration			
GSA	51	Employee Development and Training Division	202/566-1390
GSA	33	Office of Personnel	202/566-1335
National Aeronautics and Space Administration			
NASA	10	Office of Development	202/453-2649
NASA	24	Goddard Project Directorate	301/286-5894
NASA	2	Office of Administration and Computer Systems	216/433-2936
NASA	36	Training and Development Branch	216/433-2994
Postal Service			
Postal Service	4	Office of Selection and Evaluation	202/268-3793
Postal Service	58	Human Resource Information Systems	202/268-3717
Veterans Administration			
Medicine and Surgery	56	Personnel Assistance Staff Office	202/233-3261
Veterans Benefits	60	Personnel Assistance Staff Office	202/233-3261

[a] Four of the 96 applications are not listed because the agency did not agree to have contact listed.

[b] Number under "Type of practice" corresponds to practice in appendix V.

APPENDIX IV

TABLE IV.2: Agency Directory of Innovative Applications of HRM Practices [a]

Agency	Type of practice [b]	Organizational contact	Phone number
Department of Defense			
Dependents Schools	37	Education Division	703/325-0660
Department of the Air Force			
Air Force Systems Command	57	Office of Civilian Personnel	301/981-2879
Air Training Command	58	Office of Civilian Personnel	512/652-4868
Air Force Reserve	4, 20, 49	Office of Civilian Personnel	912/926-5308
Strategic Air Command	46	Office of Civilian Personnel	402/294-2716
Air Force Commissary	23	Office of Plans and Programs	512/925-6458
Air Force Commissary	Model Installations	Directorate of Plans and Programs	512/925-6458
Department of the Army			
Army Corps of Engineers	13, 17, 47	Personnel Division	202/272-0545
Army Health Services Command	3, 22, 29	Office of Civilian Personnel	512/221-6859
Army Training and Doctrine Command	59, Professor Placement	Office of Civilian Personnel	804/727-3108
Army Missile Command	35	Office of Civilian Personnel	205/876-4124
Army Depot System Command	17, 29, 44	Office of Civilian Personnel	717/267-8589
Army Depot System Command	36	Productivity Directorate	717/267-8857
Department of the Navy			
Naval Air Systems Command	13	Office of the Director	202/692-0392
Naval Air Systems Command	36	Office of Quality Assurance	301/863-3997
Naval Supply Systems Command	51	Human Resource Development Division	202/695-6984
Naval Sea Systems Command	3	Total Force Information Division	202/694-1350
Marine Corps	2	Civilian Personnel Policy Office	202/694-1421
Marine Corps	60	Civilian Personnel Office	619/577-6478
Marine Corps	10	Facilities Division	202/694-3188

[a] Four of the 96 applications are not listed because the agency did not agree to have contact listed.

[b] Number under "Type of practice" corresponds to practice in appendix V.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT PRACTICES

HRM Planning and Leadership

Planning

1. Futuring/visioning

   A process for formally defining the future state of an organization or group, futuring/visioning guides decisionmaking and planning efforts for achieving the organization's long-term goals.

2. Strategic human resource planning

   Such long-range planning sets organizational goals and policies to (1) identify, attract, and acquire the appropriate staff and skills; (2) develop and utilize human resources for the long-term; and (3) create the organizational environment to maximize individual and group performance. This also involves identifying the impact of proposed program changes on the organization's human resources.

3. Workforce planning

   Work force planning is a systematic process to determine the number of employees, mix of skills, and hiring strategies needed to accomplish an agency's mission.

4. Management succession planning

   This is a process of systematic agencywide planning for orderly turnover in key management positions of an organization.

5. HRM-focused surveys

   These surveys entail a formal agency process for obtaining and using information and opinions about HRM services from the work force.

6. Organization assessment/diagnosis

   Consisting of formal employee surveys used to assess the organization's culture and climate as well as the impact of its processes and activities on the work force, organization assessment/diagnosis is undertaken before, during, and after improvement strategies are implemented. These employee surveys do not include vulnerability assessments and efficiency studies.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT OF PRACTICES

HRM Planning and Leadership (continued)

Human Resource Staff Role

7. Top management position for HRM official

   An HRM official serves as a member of top management to initiate, advise, and decide on effective organizational policy and practices.

8. Separate HRM staff

   This is a group of employees who specialize in HRM functions, issues, and development separate from traditional personnel functions.

9. Continuity of HRM innovations

   Such continuity consists of mechanisms to assure that HRM innovations are continued when presidential administrations and/or top management change.

10. Research and development in HRM

    Planned experiments and pilot programs, not limited to OPM-approved demonstration projects, HRM research and development introduces state-of-the-art managerial and personnel administration practices.

Managerial Role

11. Expanded authority to managers for HRM decisions

    In such situations, line managers are given increased delegated authority over personnel activities related to their operating units.

12. Leadership transition services

    Leadership transition services are planned activities beyond training that assist new managers and executives in taking on their new responsibilities. These activities include data collection to elicit employee views on issues, problems, and future directions as-well-as their suggestions for managerial strategies.

13. Cultivation of leadership excellence

    This involves extensive initiatives to change leadership styles and culture.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT PRACTICES

Acquiring and Placement of Human Resources

Selection

14. Performance standard for Affirmative Action/EEO

Performance standards are used to insure that employees and managers carry out principles of affirmative action/EEO.

15. Targeting women and minorities for managerial positions

These are efforts to provide agency training and learning opportunities other than OPM programs to women and minorities for advancement into the managerial ranks.

16. Automated job skill selection

This occurs when a computerized system matches employee skills with job needs.

Placement

17. Outplacement services

Outplacement services may be defined as planned assistance to employees beyond regulatory or policy requirements with job placement, relocation, and identification of needed retraining provided in response to reductions-in-force, downsizing, and organizational changes.

18. Transition arrangements at retirement

These are mechanisms for shifting employees' roles and work arrangements so employees on or near retirement can continue to make a contribution.

19. Job sharing

Job sharing is a situation in which two employees share a single job normally held by one.

20. Use of generic positions and performance standards

This is a situation in which position descriptions and performance standards are redesigned to give managers greater flexibility in assigning employees to jobs.

21. Job rotation

A formal process to provide new knowledge, skills, and flexibility, job rotation places employees on special assignments and details for extended periods.

DEFINITIONS OF HUMAN RESOUCE MANAGEMENT PRACTICES

Organizational Effectiveness

Organization System Changes

22. Organizational development services

Such services assist managers in applying behavioral science tools for assessing, developing, and changing organizations and individuals in systematically improving their present and future effectiveness.

23. Organization downsizing

Downsizing involves a systematic effort to eliminate duplicative services and activities by using various techniques such as consolidation, A-76 actions, and task analysis. Before implementation of these changes, employees' needs should be addressed.

24. Alternatives to hierarchical structure

Changes in the organizational structure, such as project teams and matrix structures, which increase communications and staff utilization, these alternatives may involve the creation of semiautonomous or self-managed work groups that are given substantial authority and responsibility for their work or their product.

Work Place/Job Design

25. Work sharing

This is an alternative to reduction-in-force in which employees agree to work part-time.

26. Physical work environment changes

These are physical improvements in the work area beyond requirements to promote safety and health.

27. Socio-technical systems

This involves jobs and work operation design to adapt technological requirements and hardware to employees' needs, skills, and interpersonal relations to assure high performance and morale. These practices focus on effectively handling the human issues involved in office automation and the introduction of new technology.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT PRACTICES

Organizational Effectiveness (continued)

Work Place/Job Design (continued)

28. Job enrichment/job enlargement

    This is a broad label for many alternatives that increase variety in individual jobs, expand the range of tasks, and extend responsibility for decisions.

29. Permanent part-time job arrangements

    These are formal arrangements in which employees working less than full-time obtain benefits similar to those provided to full-time employees (i.e., pension benefits prorated according to hours worked.)

30. Work-at-home arrangements

    Employees formally agree to perform some of their work at home on a regular basis.

Organizational Communications Improvements

31. Team building

    This consists of retreats and special activities that help facilitate interpersonnal relations, build communications, resolve conflicts, and achieve group goals within and among the organization's work groups. A third party facilitates the process. This process does not include periodic office staff meetings.

32. Quality of work-life programs

    These are formal agencywide efforts to build management-employee relations and communication and involve employees in decisions related to their work tasks, work environment, and work improvements.

33. Networking

    Networking is the extensive use of interactive dialogue through computer systems and advanced communications technology such as teleconferencing.

34. Strategies for transfer of HRM innovations

    These are management processes by which innovations are shared and established in other parts of the organization.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT PRACTICES

Employee Performance/Utilization

Involvement

35. Joint labor-management committees

These consist of formal groups of representatives from both management and union ranks that deal with workplace issues not covered by the agency's collective bargaining agreement.

36. Quality circles

These are groups of employees engaged in solving problems or addressing specific issues at the operating level.

37. Employee/employer committees or councils

These consist of formal groups of individuals elected to represent all levels and functions of an organization. They serve as forums for communication and addressing organizational issues.

38. Participative management/employee involvement training

This covers instruction designed specifically to provide knowledge and build skills for increasing employee participation.

39. Suggestion systems

These are comprehensive efforts beyond regulation or policy requirements that elicit work force ideas, give feedback, and provide recognition for employee suggestions.

40. Employee complaint hotline

This is a formal process that enables members of the work force to report problem areas and quickly obtain responses and solutions to problem areas identified.

Incentives

41. Gainsharing

Gainsharing involves a formal incentive mechanism for distributing a portion of the savings from improved organizational performance to members of the work force who contributed to generating the savings.

42. Volunteering for work assignments

Employees volunteer for specific work assignments instead of being assigned to jobs.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT PRACTICES

Employee Performance/Utilization (continued)

Incentives (continued)

43. Dual career paths for specialists

This involves the construction of career paths enabling persons with unique expertise (e.g. scientists) to remain working in their fields as they advance to higher nonsupervisory grades.

44. Incentive programs

These consist of incentives beyond federally mandated incentive pay systems such as merit pay and Senior Executive Service bonuses. These incentives recognize and reward individuals and groups for high performance and for achieving efficiencies in their work operations.

45. Pay-for-knowledge

Organizational members are paid for the knowledge and skills they acquire.

Development

46. Career management

This is a comprehensive system that helps employees manage their careers through the use of career planning and development, job enhancement, and job enrichment.

47. Employee and Family Services

This is a comprehensive program of services such as child care, counseling, employment services, and substance abuse programs beyond those required by law and regulations.

48. Stress management/health and fitness program

Such programs promote reduction of stress, soundness of body, and general well-being.

49. Orientation for new employees

Intensive assistance beyond an initial orientation session, such orientation helps new employees understand the organization, its objectives, and culture.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT PRACTICES

Employee Performance/Utilization (continued)

Development (continued)

50. Cross-training

Cross-training enables employees to perform, when needed on a temporary basis, duties beyond their current responsibilities.

51. Advanced training technology usage

This involves the use of new training methodology, such as competency-based training, simulation and computer-assisted training, and the establishment of well-equipped learning resource centers.

52. Mentor system

This system enables experienced employees to serve as mentors to other employees for enhancing their development.

Appraisal

53. Employee involvement in performance management systems

This involves employees formally participating in planning, implementing, and monitoring an agency's performance appraisal and rewards system.

54. Managerial assessment centers

These cover specially designed sessions where candidates for managerial positions are assessed in performing job-related knowledge and skills.

55. Human resource development element in appraisal

Human resource development and training is included as an element in supervisory performance standards.

DEFINITIONS OF HUMAN RESOURCE MANAGEMENT PRACTICES

Personnel Administration Improvements

56. Expanding the role of personnel specialists

Such role expansion allows personnel specialists to move beyond regulatory and processing functions to serve as an ongoing consultant, mediator, problem solver, educator, counselor, and advisor for line managers and employees. This may include specialized training to perform these roles.

57. Managerial advisory groups to personnel

This is a forum for operating managers to provide input about their concerns and needs to the personnel office and to review personnel office operations.

58. Automated personnel administration information system

A data base management system designed to provide information on all personnel functions, it would also track personnel transactions.

59. Comprehensive personnel administration indicators

These are efficiency and effectiveness measures that enable the personnel director and staff to monitor a broad range of personnel activities.

60. Streamlining personnel administration

Streamlining involves efforts to eliminate duplicative services, unneeded decisionmaking levels, consolidate operations, and restructure roles and functions.

61. Employee benefits cost containment

Such strategies reduce employee benefit costs while retaining the same benefit coverage.

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